

FORMS

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INTERNAL/EXTERNAL ASSESSMENT WORKSHEET

I N T E R N A L	<u>STRENGTHS</u>	<u>WEAKNESSES</u>
E X T E R N A L	<u>OPPORTUNITIES</u>	<u>THREATS</u>

CUSTOMER/STAKEHOLDER IDENTIFICATION WORKSHEET

<i>IDENTIFICATION OF CUSTOMERS AND STAKEHOLDERS</i>		
Internal Customers	Customer Expectations	Prioritization
External Customers	Customer Expectations	Prioritization
Stakeholders	Stakeholder Expectations	Prioritization

MISSION STATEMENT LITMUS TEST

Mission: a brief, comprehensive statement of purpose of an agency, program or subprogram.

For each budget unit, program or subprogram, indicate if the mission statement meets the criteria of the litmus test.

MISSION STATEMENT CHECKSHEET					
Budget Unit Name:	Program/Subprogram Number:				
Test Questions	#1	#2	#3	#4	#5
Does it clearly state what business you are in?					
Is it broad enough that all staff in the organization can see how they contribute?					
Is the mission rarely changing?					
Can the mission survive changes in administration?					
Is the rationale for the program's existence clear? Does it articulate the ultimate outcomes you want?					
Will it make sense to average citizens if they see it on your office wall?					
Does it answer who we are, what and for whom we do what we do, and why it's important?					
Is it obvious why we spend public dollars on such an effort?					
Will you be embarrassed if you see it on the front page of the newspaper?					

VISION AND PRINCIPLES LITMUS TESTS

Vision Statement: a compelling, conceptual image of the desired future.

Indicate if the vision statement meets the criteria of the litmus test.

VISION STATEMENT CHECKSHEET		
Test Questions	YES	NO
Does the vision statement provide a clear picture of the organization's ideal future?		
Is the vision statement inspiring and challenging?		
Is the vision statement brief enough to be memorable?		
Will achievement of the mission help make the vision a reality?		

Principles: the core values and philosophies that describe how an agency conducts itself in carrying out its mission.

Indicate if the principles meet the criteria of the litmus test.

PRINCIPLES CHECKSHEET		
Test Questions	YES	NO
Can the principles act as a foundation for the mission and vision?		
Are values included that can be embraced by every employee in the organization?		
Do the principles promote employee excellence?		
Do they describe the way customers should be treated?		
Do the principles clarify expectations for quality performance?		

GOALS LITMUS TEST

Goal: the desired end result, generally after three or more years.

For each budget unit, program or subprogram, indicate if the goals meet the criteria of the litmus test. Complete one column for each goal.

GOALS CHECKSHEET					
Budget Unit Name:	Program/Subprogram Number:				
	Goal Number:				
Test Questions	#1	#2	#3	#4	#5
Does the goal support the mission?					
Is it consistent with your legislative authority?					
Does the goal deal with just one issue?					
Does the goal represent a desired <i>result</i> that can be measured?					
Does the goal reflect a <i>primary</i> activity or <i>strategic</i> direction?					
Is the goal challenging, but still realistic and achievable?					
Does the goal encompass a relatively long period, i.e., three years or longer?					
Is there at least one key goal for each program (subprogram), but not more than can be reasonably managed?					
Is the goal important to management?					
Is the goal important to policy makers and customers?					
Will someone unfamiliar with the program or subprogram understand what the goal means?					
When taken collectively, will the goals reflect most of the program's budget?					

OBJECTIVES LITMUS TEST

Objectives: specific and measurable targets for accomplishing goals.

For each goal, indicate if the objectives meet the criteria of the litmus test. Complete one column for each objective under a particular goal.

OBJECTIVES CHECKSHEET					
Goal:	Program/Subprogram Number:				
	Objective Number:				
Test Questions	#1	#2	#3	#4	#5
Does the objective reflect specific, desired accomplishments?					
Can progress toward completion of an objective be measured?					
Is the objective aggressive and challenging, yet realistic and attainable within the planning period and available resources?					
Does the objective specify a result rather than an activity?					
Is there a specific time frame for completion of the objective?					
Have you identified who will be accountable for meeting the objective?					
Will completion of the objective lead to goal attainment?					
Is there at least one objective for each stated goal?					
Will someone unfamiliar with the budget unit (or program or subprogram) understand what the objective means?					

PERFORMANCE MEASURES LITMUS TEST

Performance Measures: used to measure results and ensure accountability.

Test each performance measure to see if it meets the criteria of the litmus test.

PERFORMANCE MEASURES CHECKSHEET					
Goal Number:	Program/Subprogram Number:				
	Performance Measure:				
Test Questions	#1	#2	#3	#4	#5
Does the performance measure relate to the mission it represents?					
Does the performance measure relate to the goal it represents?					
Does the performance measure relate to the objective it represents?					
Is the performance measure important to management?					
Will it be possible to collect accurate and reliable data for this performance measure?					
Taken together, do these performance measures accurately reflect the key results of the budget unit, program or subprogram?					
Is there at least one key performance measure for each goal?					

FAMILY OF MEASURES WORKSHEET

	INTERNAL	EXTERNAL
Input		
Output		
Outcome		
Efficiency		
Quality		

SELECTION CRITERIA MATRIX WORKSHEET

Measures	Aligned to Goals/Obj's	Important to Customer	Easy to Collect	Important to Management	Total
#1					
#2					
#3					
#4					
#5					
#6					
#7					
#8					
#9					
#10					
#11					
#12					
#13					
#14					
#15					

Using the Performance Measure Summary Form

One of the most difficult aspects of strategic planning is picking a balanced set of results-based performance measures to gauge the success in meeting goals and objectives. Once measures are decided on, agencies need to define the performance measures, determine data requirements, identify current baselines, set realistic performance targets based on benchmarking, and compare actual performance with expected results.

To assist agencies, OSPB has developed a logical system to dissect and record all pertinent information about performance measures. The attached Performance Measure Summary form can be completed for each performance measure at agency, program and subprogram levels.

Use of this Performance Measure Summary form ensures that a detailed history of each performance measure can always be accessed by agency staff. Additionally, with the summary forms on file, questions regarding any aspect of the data can be answered quickly and consistently.

Note: This form is designed to capture:

- **estimated** performance measure information for the **current** fiscal year,
- **actual** performance measure information for the **past three** fiscal years,
- and **expected** performance measure information for the **ensuing three** fiscal years.

Therefore, the data column headers on the form will need to be updated every year to reflect the “rolling” nature of collecting and reporting data.

A copy of the Performance Measure Summary form and instructions are provided on the following pages. For a copy of the computerized version of the form, contact Rebecka Derr at 542-5392.

PERFORMANCE MEASURE SUMMARY FORM

Program/Subprogram Name: _____
 Program/Subprogram #: _____ From: ML_____ Prog_____ Sub_____
 Name of Contact Person: _____ Telephone #: _____

Performance Measure

FY 1995 Actual	FY 1996 Actual	FY 1997 Actual	FY 1998 Estimate	FY 1999 Expected	FY 2000 Expected	FY 2001 Expected

Performance Measure Title:

Definition of Performance Measure:

Type: Input__ Output__ Outcome__ Efficiency__ Quality__

Definition of Key Terms:

Key performance measure: Agency__ Prog/Subprog__ No__

Collected: Mnthly____ Qtrly____ Yrly____ Other____

Reporting Requirements:

How Performance Measure is Computed:

Data Source(s):

Has Benchmarking Been Used to Set Performance Targets? Yes _____ No _____

Benchmarking Sources/Standards:

Data Collection/Implementation Issues:

Explanatory Information:

Instructions for Completing the Performance Measure Summary Form

1. **Program/Subprogram Name:** as it appears in the most recent *Master List of State Government Programs*.
2. **Program/Subprogram #:** as it appears in the most recent *Master List of State Government Programs*. Begin with the three-digit AFIS agency identifier code, then the program/subprogram number, followed by a period and the appropriate three-digit suffix (program = PRO, subprogram = SUB).
3. **From:** check the document--or documents--that the performance measure appears in. Check ML for the *Master List of State Government Programs*, AP for the agency strategic plan, Prog for the program strategic plan, and/or Sub for the subprogram strategic plan.
4. **Name of Contact Person:** the person directly responsible for the program or subprogram.
5. **Telephone #:** for the contact person listed.
6. **Performance Measure:** list the actual performance information from FY 1995, FY 1996 and FY 1997, the FY 1998 estimate and the expected numbers (targets) for the next three fiscal years FY 1999, FY 2000 and FY 2001. If the information is not available, indicate "N/A" in the appropriate space. *Note:* update the FY data column headers every year to reflect the "rolling" nature of collecting and reporting data.
7. **Performance Measure Title:** the full title of each performance measure.
8. **Definition of Performance Measure:** in non-technical terms, describe what is actually being measured and explain how this particular performance measure demonstrates agency, program, or subprogram performance.
9. **Type:** of performance measure. The distinction between outcomes, efficiencies and quality measures is not always clear; however, outcomes capture *results*, efficiencies capture *speed*, *accuracy*, etc., of the outcome, and quality usually captures *satisfaction* with the result.
10. **Definition of Key Terms:** describe any technical jargon used in the performance measure, as well as other descriptive terms.

For example:

- *Accurately:* what is the acceptable level of error?
- *Timely:* what is the turnaround time you are aiming for?
- *Eligible:* what are the criteria for eligibility?
- *Customer satisfaction:* what kind of survey instrument will be used, what scale will be used, and what will be an acceptable level of satisfaction?
- *Poverty:* what specific definition will you use, federal? state?

11. **Collected:** indicate how often the data will be collected (i.e., specify monthly, quarterly, annually, or some other time period).
12. **Reporting Requirements:** list the internal and external customers and/or stakeholders that require this information (including OSPB, JLBC, and any required by statute).
13. **How Performance Measure Is Computed:** describe how the raw data will be transformed into usable information for reporting and how it will be combined to derive the yearly figures.
14. **Data Source(s):** provide the names of the specific reports, documents or databases from which the raw data for the performance measure will be obtained.
15. **Has Benchmarking Been Used to Set Performance Targets?** if not, skip to the Performance Information Section (Item #19). Refer to the *Strategic Planning and Performance Measurement Handbook* for information on developing performance targets from the benchmarking process and identification of national standards.
16. **Benchmarking Sources/Standard:** list the organizations that have been used to compare performance. Identify any applicable national standards and provide actual data obtained during the benchmarking process.
17. **Data Collection/Implementation Issues:** discuss any problems that you anticipate in collecting or reporting the data now and in the future. This section can also be used for any other explanatory comments on the performance measure. For example, if data is not currently available, use this area to specify dates, indicating when information will be available. Provide comments on how consensus measures with other agencies and/or programs that serve similar population can or cannot be developed.
18. **Explanatory Information:** discuss any internal and external factors that may affect performance. Give any background information that can help to explain variation in the Performance Measure section that would not normally be expected, or any uncontrollable factors that may prohibit attainment of anticipated levels of performance.

List other State agencies and/or programs that serve similar populations and/or have similar measures (specific examples include agencies with inter-governmental agreements or inter- and intra-agency partners). If no benchmarking has been done previously, describe the plan for future benchmarking activities.

ACTION PLAN LITMUS TEST

Action Plan: a detailed description of the strategies, steps and resources that will be used to implement an objective.

For each budget unit, program or subprogram, indicate if the action plan meets the criteria of the litmus test.

ACTION PLAN CHECKSHEET					
Goal Number:	Program/Subprogram Number:				
Test Questions	#1	#2	#3	#4	#5
Does the action plan contain a time frame for completion?					
Is the action plan broken down into important steps (e.g. have operations, procedures and processes been included)?					
Has responsibility for successful completion of the action plan been assigned?					
Will additional resources be needed to accomplish the action plan? Have arrangements been made for additional resources?					
Does the action plan contain sufficient detail to track milestones?					
Will the action plan help to achieve the objective?					
Does the action plan relate to the goal?					

PROGRAM AND SUBPROGRAM LITMUS TEST

Program: a group of activities that results in the accomplishment of a clearly defined mission.

Subprogram: two or more integral components of a program that can be separately analyzed to gain a better understanding of the larger program.

The following "test questions" are intended to provide some guidance in considering a budget unit's program structure. A "Yes" to one or more of these questions creates a presumption in favor of a program or subprogram maintaining its separate designation. Functions should drive the program structure; current organizational structure or funding sources should not be the deciding factors. The program structure should be relatively stable over time and transcend changes in agency directors.

For each budget unit, indicate if the programs and subprograms meet the criteria of the litmus test. Complete one column for each program or subprogram.

PROGRAM AND SUBPROGRAM CHECKSHEET					
Budget Unit Name:	Program/Subprogram Number:				
Test Questions	#1	#2	#3	#4	#5
Is the program/subprogram specifically mentioned in the Arizona Revised Statutes?					
Is the program/subprogram a response to a high priority or sensitive public policy issue?					
Is the program/subprogram mission unique or overall purpose distinct from other programs?					
Is the program/subprogram referenced in session law? Is the reason for referencing significant?					
Are significant public resources dedicated to the program/subprogram? (Note: General rule is: if less than \$100,000, consider consolidation; if more than \$1 million, keep as a program.)					

DATA COLLECTION WORKSHEET

CUSTOMER COMPLAINTS					
Time Period	Claims Not Paid	Wrong Amount Paid	Late Payment	Paper Work Lost	Other
Week #1					
Week #2					
Week #3					
Week #4					
Week #5					
Totals:					

DATA COLLECTION WORKSHEET

CLAIMS NOT PAID				
Time Period	Incorrectly Filled Out	Disputed Claim Amount	No Signature	Other
Week #1				
Week #2				
Week #3				
Week #4				
Week #5				
Totals:				

DATA COLLECTION WORKSHEET

Time Period					
Week #1					
Week #2					
Week #3					
Week #4					
Week #5					
Totals:					